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PTO/SB/21 (09-04)

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TRANSMITTAL FORM

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Total Number of Pages in This Submission

6 **

Application Number

10/811,435

Filing Date

March 25, 2004

First Named Inventor

Alexander P. Payne

Art Unit

2874

Examiner Name

not yet known

Attorney Docket Number

10021.002510 (P0309)

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Reply to Missing Parts/
Incomplete Application

☐ Reply to Missing Parts
under 37 CFR 1.52 or 1.53

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a
Provisional Application

☐ Power of Attorney, Revocation
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ Landscape Table on CD

☐ After Allowance Communication to TC

☐ Appeal Communication to Board
of Appeals and Interferences

☐ Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)
(please identify below):

PTO Form SB-08ab;

Copy of listed refs.: B-F documents only;
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Remarks

** does not include pages of listed references

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm

OKAMOTO & BENEDICTO LLP

Signature

Printed Name

James K. Okamoto

Date

December 7, 2004

Reg.
No.

40,110

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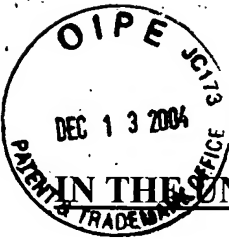
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Alexander P. Payne, et al.

Serial No. 10/811,435

Examiner: not yet known

Filed: March 25, 2004

Art Unit: 2874

Title: Diffractive Light Modulator

Atty. Dkt. No.: 10021.002510 (P0309)

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Under 37 C.F.R. §1.56 and §§1.97-98

Sir:

Pursuant to the provisions of 37 CFR 1.56 and §§1.97-98, enclosed herewith is form PTO/SB/08 (substitute for form 1449A/PTO) listing references which may be material to the examination of this application, and with respect to which there may be a duty to disclose. The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

A copy of each listed reference is enclosed herewith, unless no such copy is required pursuant to 37 CFR § 1.98(d).

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the references cited therein are hereby listed but are not required to be provided in this application under 37 CFR § 1.98(d).

Pursuant to 37 CFR §1.97, this Information Disclosure Statement is being submitted under the section indicated below.


- ☒ 37 CFR §1.97(b).
- ☐ 37 CFR §1.97(c). If so, then either:
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56 (c) more than three months prior to the filing of this Statement.
- OR
- ☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).
- ☐ 37 CFR § 1.97(d). If so, then both:
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.
- AND
- ☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

Consideration of the listed references and favorable action are respectfully solicited.

Respectfully submitted,

Alexander P. Payne

Dated: December 7, 2004

By: 

James K. Okamoto

Attorney For Applicant(s)

Reg. No. 40,110

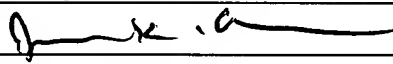
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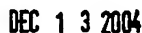
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Substitute for form 1449A/PTO

(Use as many sheets as necessary)

Sheet	1	of	2
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Complete if Known

<i>Application Number</i>	10/811,435
<i>Filing Date</i>	March 25, 2004
<i>First Named Inventor</i>	Alexander P. Payne
<i>Art Unit</i>	2874
<i>Examiner Name</i>	not yet known
<i>Attorney Docket Number</i>	10021.002510 (P0309)

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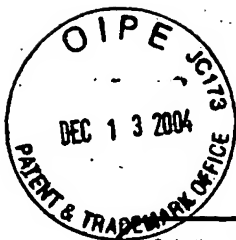
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Signature**

Date Considered

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Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 2 of 2

Complete if Known

Application Number	10/811,435
Filing Date	March 25, 2004
First Named Inventor	Alexander P. Payne
Art Unit	2874
Examiner Name	not yet known
Attorney Docket Number	10021.002510 (P0309)

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	B	D.T. AMM, et al. "Grating Light Valve Technology: Update and Novel Applications" 19 May 1998, pages 1 – 4, Silicon Light Machines. Presented at Society for Information Display Symposium, Anaheim, CA.	
	C	DAVID T. AMM, et al. "Optical Performance of the Grating Light Valve Technology" 1999, pages 1 – 8, Silicon Light Machines. Presented at Photonics West-Electronics Imaging.	
	D	R.W. CORRIGAN, "An Alternative Architecture for High Performance Display" 20 November 1999, pages 1 – 5, Silicon Light Machines. Presented at SMPTE Technical Conference and Exhibition, New York, NY.	
	E	R.W. CORRIGAN, et al. "Calibration of a Scanned Linear Grating Light Valve Projection System" 18 May 1999, pages 1 – 4, Silicon Light Machines. Presented at Society for Information Display Symposium, San Jose, CA.	
	F	ROBERT CORRIGAN, et al. Silicon Light Machines – Grating Light Valve Technology Brief, June 2001 ver C, pages 1 – 8; Sunnyvale, California.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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